



Filing ID #10021329

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** Mai-Khanh Tran  
**Status:** Congressional Candidate  
**State/District:** CA39

## FILING INFORMATION

**Filing Type:** Candidate Report  
**Filing Year:** 2018  
**Filing Date:** 06/13/2018

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
American Century Investments ⇒ Ultra Fund Investor Class [MF]	JT	\$15,001 - \$50,000	Capital Gains	None	None
American Funds ROTH IRA ⇒ AMCAP Fund-A [MF]		\$15,001 - \$50,000	Tax-Deferred		
American Funds ROTH IRA ⇒ Fundamental Investors-A [MF]		\$15,001 - \$50,000	Tax-Deferred		
American Funds ROTH IRA ⇒ New World Fund-A [MF]		\$1,001 - \$15,000	Tax-Deferred		
American Funds ROTH IRA ⇒ SMALLCAP World Fund-A [MF]		\$15,001 - \$50,000	Tax-Deferred		
American Funds ROTH IRA ⇒ The Growth Fund of America-A [MF]		\$15,001 - \$50,000	Tax-Deferred		
American Funds ROTH IRA ⇒ The New Economy Fund-A [MF]		\$15,001 - \$50,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
AXA Equitable Life Insurance Co. ⇒ AXA Agg Allocation Fund [MF]		\$100,001 - \$250,000	None		
Fidelity Investments ⇒ Alibaba Group Holding Limited American Depository Shares each representing one Ordinary share (BABA) [ST]		\$15,001 - \$50,000	Capital Gains	None	None
Fidelity Investments ⇒ Alphabet Inc. - Class A (GOOGL) [ST]		\$50,001 - \$100,000	Capital Gains	None	None
Fidelity Investments ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) [ST]		\$15,001 - \$50,000	Capital Gains	None	None
Fidelity Investments ⇒ Altaba Inc. (AABA) [ST]		\$15,001 - \$50,000	Capital Gains	None	None
Fidelity Investments ⇒ Amazon.com, Inc. (AMZN) [ST]		\$100,001 - \$250,000	Capital Gains	None	None
Fidelity Investments ⇒ Apple Inc. (AAPL) [ST]		\$100,001 - \$250,000	Capital Gains, Dividends	\$201 - \$1,000	\$1,001 - \$2,500
Fidelity Investments ⇒ Bank of America Corporation (BAC) [ST]		\$50,001 - \$100,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
Fidelity Investments ⇒ Boeing Company (BA) [ST]		\$50,001 - \$100,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Fidelity Investments ⇒ Broadcom Inc. (AVGO) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Fidelity Investments ⇒ Facebook, Inc. - Class A (FB) [ST]		\$100,001 - \$250,000	Capital Gains	None	None
Fidelity Investments ⇒ General Electric Company (GE) [ST]		None	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Fidelity Investments ⇒ Gilead Sciences, Inc. (GILD) [ST]		None	Capital Gains, Dividends	None	None
Fidelity Investments ⇒ Invesco QQQ Trust, Series 1 (QQQ) [ST]		None	Capital Gains, Dividends	None	\$1 - \$200

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Fidelity Investments ⇒ JP Morgan Chase & Co. (JPM) [ST]		None	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Fidelity Investments ⇒ Microsoft Corporation (MSFT) [ST]		None	None		
Fidelity Investments ⇒ Schlumberger N.V. (SLB) [ST]		None	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
Fidelity Investments ⇒ Skyworks Solutions, Inc. (SWKS) [ST]		\$50,001 - \$100,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
Fidelity Investments ⇒ Starbucks Corporation (SBUX) [ST]		None	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Fidelity Investments ⇒ Under Armour, Inc. Class A (UAA) [ST]		None	Capital Gains	None	\$201 - \$1,000
Fidelity Investments ⇒ Under Armour, Inc. Class C (UA) [ST]		None	Capital Gains	None	\$1 - \$200
Fidelity Investments 401(k) ⇒ Col SM Cap Val II Z [MF]		\$50,001 - \$100,000	Tax-Deferred		
Fidelity Investments 401(k) ⇒ FID Asset MGR 50% [MF]		\$50,001 - \$100,000	Tax-Deferred		
Fidelity Investments 401(k) ⇒ FID Contrafund [MF]		\$500,001 - \$1,000,000	Tax-Deferred		
Fidelity Investments 401(k) ⇒ FID Diversifd Intl [MF]		\$100,001 - \$250,000	Tax-Deferred		
Fidelity Investments 401(k) ⇒ FID Emerging Mkts [MF]		\$50,001 - \$100,000	Tax-Deferred		
Fidelity Investments 401(k) ⇒ FID Freedom 2015 [MF]		\$100,001 - \$250,000	Tax-Deferred		
Fidelity Investments 401(k) ⇒ FID Govt Mkts [MF]		\$250,001 - \$500,000	Tax-Deferred		
Fidelity Investments 401(k) ⇒ FID Levergd Co Stk [MF]		\$50,001 - \$100,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Fidelity Investments 401(k) ⇒ FID Real Estate invs [MF]		\$50,001 - \$100,000	Tax-Deferred		
H. Beck, Inc. ⇒ Apple Inc. (AAPL) [ST]	JT	\$250,001 - \$500,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$2,501 - \$5,000
H. Beck, Inc. ⇒ Citigroup, Inc. (C) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
H. Beck, Inc. ⇒ Franklin Mutual Financial Services Fund Class A [MF]	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
H. Beck, Inc. ⇒ General Electric Company (GE) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
H. Beck, Inc. ⇒ Goldman Sachs Group, Inc. (GS) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
H. Beck, Inc. ⇒ Hartford Financial Services Group, Inc. (HIG) [ST]	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
H. Beck, Inc. ⇒ Hartford Healthcare Fund Class A [MF]	JT	\$1,001 - \$15,000	Capital Gains	None	None
H. Beck, Inc. ⇒ JP Morgan Chase & Co. (JPM) [ST]	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
H. Beck, Inc. ⇒ McDonald's Corporation (MCD) [ST]	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
H. Beck, Inc. ⇒ United States Steel Corporation (X) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Janus Fund D Shares [MF]	JT	\$15,001 - \$50,000	Capital Gains	None	None
Rental Home [RP]	JT	\$500,001 - \$1,000,000	Rent	\$2,501 - \$5,000	\$15,001 - \$50,000
LOCATION: Irvine, CA, US					
TD Ameritrade ⇒ Alphabet Inc. - Class A (GOOGL) [ST]	JT	\$1,001 - \$15,000	Capital Gains	None	None

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TD Ameritrade ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) [ST]	JT	\$1,001 - \$15,000	Capital Gains	None	None
TD Ameritrade ⇒ Amazon.com, Inc. (AMZN) [ST]	JT	\$100,001 - \$250,000	Capital Gains	None	None
TD Ameritrade ⇒ Apple Inc. (AAPL) [ST]	JT	\$50,001 - \$100,000	Capital Gains, Dividends	None	\$2,501 - \$5,000
TD Ameritrade ⇒ Bank of America Corporation (BAC) [ST]	JT	\$100,001 - \$250,000	Capital Gains, Dividends	None	\$1,001 - \$2,500
TD Ameritrade ⇒ Citigroup, Inc. (C) [ST]	JT	\$15,001 - \$50,000	Capital Gains, Dividends	None	None
TD Ameritrade ⇒ Facebook, Inc. - Class A (FB) [ST]	JT	\$100,001 - \$250,000	Capital Gains	None	\$50,001 - \$100,000
TD Ameritrade ⇒ General Electric Company (GE) [ST]	JT	None	Capital Gains, Dividends	None	\$15,001 - \$50,000
TD Ameritrade ⇒ Goldman Sachs Group, Inc. (GS) [ST]	JT	\$100,001 - \$250,000	Capital Gains	None	None
TD Ameritrade ⇒ Wells Fargo & Company (WFC) [ST]	JT	None	Capital Gains, Dividends	None	\$5,001 - \$15,000
TD Ameritrade Institutional IRA ⇒ 3M Company (MMM) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Accenture plc Class A Ordinary Shares (ACN) [ST]	SP	\$50,001 - \$100,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Applied Materials, Inc. (AMAT) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Aptiv PLC Ordinary Shares (APTV) [EF]	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ CDW Corporation (CDW) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Constellation Brands, Inc. (STZ) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		

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TD Ameritrade Institutional IRA ⇒ Corning Incorporated (GLW) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Danaher Corporation (DHR) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Fidelity National Information Services, Inc. (FIS) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ General Dynamics Corporation (GD) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Home Depot, Inc. (HD) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Ingersoll-Rand plc (IR) [ST]	SP	\$50,001 - \$100,000		Tax-Deferred	
TD Ameritrade Institutional IRA ⇒ JP Morgan Chase & Co. (JPM) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Macy's Inc (M) [ST]	SP	\$50,001 - \$100,000		Tax-Deferred	
TD Ameritrade Institutional IRA ⇒ Marathon Oil Corporation (MRO) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Marriott International - Class A (MAR) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Marsh & McLennan Companies, Inc. (MMC) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Microchip Technology Incorporated (MCHP) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Morgan Stanley (MS) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Nasdaq, Inc. (NDAQ) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		

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TD Ameritrade Institutional IRA ⇒ NVIDIA Corporation (NVDA) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Raytheon Company (RTN) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ S&P Global Inc. (SPGI) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Schlumberger N.V. (SLB) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Service Corporation International (SCI) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Sherwin-Williams Company (SHW) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Texas Instruments Incorporated (TXN) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Thermo Fisher Scientific Inc (TMO) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Walmart Inc. (WMT) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Walt Disney Company (DIS) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade Institutional IRA ⇒ Xilinx, Inc. (XLNX) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade IRA ⇒ Alphabet Inc. - Class A (GOOGL) [ST]	SP	\$100,001 - \$250,000		Tax-Deferred	
TD Ameritrade IRA ⇒ Amazon.com, Inc. (AMZN) [ST]	SP	\$500,001 - \$1,000,000		Tax-Deferred	
TD Ameritrade IRA ⇒ Apple Inc. (AAPL) [ST]	SP	\$250,001 - \$500,000		Tax-Deferred	
TD Ameritrade IRA ⇒ Apple Inc. (AAPL) [ST]	SP	\$50,001 - \$100,000		Tax-Deferred	

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income Current Year to Filing</b>	<b>Income Preceding Year</b>
TD Ameritrade IRA ⇒ Bank of America Corporation (BAC) [ST]	SP	\$250,001 - \$500,000	Tax-Deferred		
TD Ameritrade IRA ⇒ Charles Schwab Corporation (SCHW) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade IRA ⇒ Facebook, Inc. - Class A (FB) [ST]	SP	\$250,001 - \$500,000	Tax-Deferred		
TD Ameritrade IRA ⇒ Goldman Sachs Group, Inc. (GS) [ST]	SP	\$100,001 - \$250,000	Tax-Deferred		
TD Ameritrade IRA ⇒ Invesco QQQ Trust, Series 1 (QQQ) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred		
TD Ameritrade IRA ⇒ JP Morgan Chase & Co. (JPM) [ST]	SP	\$50,001 - \$100,000	Tax-Deferred		
TD Ameritrade IRA ⇒ Microsoft Corporation (MSFT) [ST]	SP	\$100,001 - \$250,000	Tax-Deferred		

\* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

### SCHEDULE C: EARNED INCOME

<b>Source</b>	<b>Type</b>	<b>Amount Current Year to Filing</b>	<b>Amount Preceding Year</b>
Edinger Medical	Salary	\$50,000.00	\$345,000.00
Manpower Company	Spouse Salary	N/A	N/A

### SCHEDULE D: LIABILITIES

<b>Owner</b>	<b>Creditor</b>	<b>Date Incurred</b>	<b>Type</b>	<b>Amount of Liability</b>
JT	Wells Fargo, Des Moines, IA	June 2015	Mortgage on rental house	\$250,001 - \$500,000

### SCHEDULE E: POSITIONS

<b>Position</b>	<b>Name of Organization</b>
Vice President, Principal Medical Service Provider, and Founding Member	Damien the Leper Society

## **SCHEDULE F: AGREEMENTS**

None disclosed.

## **SCHEDULE J: COMPENSATION IN EXCESS OF \$5,000 PAID BY ONE SOURCE**

None disclosed.

## **SCHEDULE A ASSET CLASS DETAILS**

- American Century Investments (Owner: JT)
- American Funds ROTH IRA
- AXA Equitable Life Insurance Co.
- Fidelity Investments
- Fidelity Investments 401(k)
- H. Beck, Inc. (Owner: JT)
- TD Ameritrade (Owner: JT)
- TD Ameritrade Institutional IRA (Owner: SP)
- TD Ameritrade IRA (Owner: SP)

## **EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION**

**Trusts:** Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

Yes  No

**Exemption:** Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?

Yes  No

## **CERTIFICATION AND SIGNATURE**

I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

**Digitally Signed:** Mai-Khanh Tran , 06/13/2018